
Clarification of Construction, Public, and Internal Partnering

Construction Partnering

- a. It is the Intermodal Transportation Division's intent that all construction project teams build effective partnerships.
- b. Partnering Workshops - The cost of the construction partnering workshop shall be shared between ADOT and the Contractor according to the Standard Specifications for Road and Bridge Construction, 2000, Section 104 – Scope of Work, Subsection 104.01(B). Attendance at the workshops shall include decision makers and representatives from all stakeholder groups who are either affected by the outcome or who can affect the outcome of the project. See Check List of Potential Attendees for Construction Partnering Workshops. The list should be customized for each project.
- c. Scheduling a Partnering Consultant or an ADOT Employee Partnering Facilitator -The ADOT Resident Engineer and Contractor's Project Manager selects either a contracted partnering consultant or an ADOT employee partnering facilitator after completing the "Guidelines for Selecting Partnering Workshops" form found in the "Fine-Tuned Partnering Processes" document and conferring with the Partnering Section representative. The Partnering Section is responsible for administering the Partnering Services contract. When a partnering consultant is chosen, the Partnering Section will check the selection for compliance with the contract, the availability of the consultant and approve a task order called "Notification of Facilitator Services". It is strongly recommended that the workshop date not be set until either a partnering consultant or an ADOT employee partnering facilitator has been assigned. It is further recommended that the Resident Engineer, Contractor's Project Manager and the Partnering Consultant/Facilitator meet either in person or by phone to select a workshop date, review the type of partnering services required; discuss and approve estimated costs to be submitted to the Partnering Section office on the "Notification of Facilitator Services" form. The Partnering Section is also responsible to maintain and provide a list of ADOT employee partnering facilitators qualified to conduct partnering workshops. ADOT employee partnering facilitators are utilized for those projects that are generally a lower dollar amount, less complex, of shorter duration, and where the partners already have an effective working relationship. The "Partnering Workshop Plan - ADOT Partnering Facilitator" form is designed to assist the ADOT Partnering Facilitator in the planning of a partnering workshop. This document can be accessed at: <http://www.dot.state.az.us/ABOUT/partner> - Select Partnering Policy then Click on Partnering Workshop Plan; ADOT Partnering Facilitator Form
Contact the Partnering Section office for information regarding costs associated with Partnering Consultants and the availability of ADOT employee partnering facilitators.
- d. Selecting a Workshop Facility - The ADOT Resident Engineer, in collaboration with the Contractor's Project Manager, is encouraged to make arrangements for the Partnering workshop directly with the facility's staff. However, the Partnering Section staff will provide this service, if requested. The ADOT Resident Engineer or his/her representative shall follow current procurement laws, rules and Executive Orders, as applicable, when reserving a site for a partnering workshop. It should be noted that current procurement requirements are extensive and require an in-depth knowledge and considerable work/documentation to comply. Additionally, current ADOT accounting policies shall apply. Adequate meeting facilities shall be provided for all workshops. The facility/room greatly contributes to, or detracts from, the success of the workshop. The meeting

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facility/room shall be of an appropriate size for the participants to move about and form small breakout groups. Workshop activities will require wall space for hanging flip charts, tables, chairs and other equipment as needed. The facility/room shall also have adequate lighting, ventilation, security and safety, comply with the Americans with Disabilities Act requirements and provide for any additional requirements specified by law, rules, etc. that are not listed here.

- e. Providing food and/or beverages at construction partnering workshops – The Partnering Section staff annually requests approval from the ADOT Comptroller and State Engineer for construction project teams to be authorized to provide food and/or beverages at the workshops per policy FIN 13.01 Guidelines for Providing Food/Beverages at ADOT Sponsored Functions. The annual request is reviewed and approved if there is documentation that procurement laws, rules, Executive Orders and other accounting policies have been followed statewide. It is the Partnering Section's responsibility to document workshops that occur. The Resident Engineer or their representative shall contact the Partnering Section office when the partnering workshop will include food and/or beverages. Additionally, food and/or beverages are considered to be items like coffee, tea, juice, soft drinks, pastries, cookies, fruit, etc. and a light lunch-type meal. Per the Standard Specifications for Road and Bridge Construction, 2000, Section 104 – Scope of Work, Subsection 104.01(B), costs for the construction partnering workshops are to be shared equally. Partnering workshop costs are considered to be the cost of the site (if any), the cost of the partnering consultant and the cost of food/beverages.
- f. Close-Out Construction Partnering Workshops - The intent of the close-out workshop is to review the team's performance compared to the goals and objectives developed during the initial partnering workshop. Additionally, the intent is to develop suggestions and recommendations that will improve future design and construction contracts. These "lessons learned" shall be listed in the workshop report. The Partnering Section office submits the "lessons learned" to the Construction Engineer, through the Value Engineer, who will act upon the information as appropriate. The timing of the close-out workshop is important. It should take place at substantial completion of the project and before key partners leave the project (approximately at 80% completion). The workshop should not interrupt the contractor's operations. The Resident Engineer or his/her representative shall contact the Partnering Section office for assistance in planning for the workshop. Generally, the person who facilitated the initial partnering workshop conducts the close-out workshop if possible. All requirements of this partnering policy apply to planning and delivering the close-out workshop. The process for determining whether or not the project team will hold a close-out workshop is attached. At a minimum, all project teams shall conduct a final PEP evaluation as outlined in the project close-out workshop process.
- g. Paying the bills – The Partnering Section office receives the original invoice for facilitation services from the partnering consultant within 72 hours after the partnering services are rendered. The Partnering Section office completes a receiver for the invoice amount in the Advantage System. Two workdays after the invoice is sent to Accounts Payable, the Partnering Section office checks the Advantage System for payment. Once the Partnering Section office inputs the receiver in the Advantage System the following items are sent to the ADOT Org: Customer copy of the Purchase Order Agreement from Procurement; Original "Notification of Facilitator Services" form signed by the Partnering Section office; copy of

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the invoice (the original invoice is sent to Accounts Payable). This process also applies to the facility and food/beverage vendor billing. This portion of the process can require several weeks to complete. The ADOT Construction Org is responsible for initiating a contract Minor Alteration document and deducting the Contractor's equal share of the partnering costs from the Contractor's pay estimate.

Public Partnering, Internal Partnering

Public partnering is defined as a partnership among and between DOTs, other state, local and federal agencies and non-governmental stakeholders. Internal partnering is defined as a partnership among and between members, leaders and work units of the same organization. The intent is to share the cost of the partnership equally among the partners. All policy statements regarding partnering consultants or ADOT employee partnering facilitator services, facilities, food and beverages also apply to the categories of "Public" and "Internal" partnering efforts by ADOT with the following clarifications/exceptions:

- a. If the partnership is between ADOT and a "Public" Partner(s), the intent is to share the cost of the workshop between ADOT and the Public Partner(s), subject to the Arizona Administrative Code, Personnel Rules: Article 5 Conditions of Employment, Rule R2-5-501 (C) (4) and the ADOT Policies and Procedures, FIN-13.01, Guidelines for Providing Food/Beverages at ADOT Sponsored Functions.
- b. If the partnership is "Internal", the intent is to share the cost of the partnership among the participating Orgs. It is further clarified that ADOT cannot purchase food and/or beverages for internal partnering workshops or events. If any food and/or beverage is supplied at the workshop it will be the responsibility of the individuals to pay for the food and/or beverage with their personal resources. No reimbursements will be made.